

AO 257 (Rev. 6/78)

DEFENDANT INFORMATION RELATIVE TO A CRIMINAL ACTION - IN U.S. DISTRICT COURTBY: ☐ COMPLAINT ☒ INFORMATION ☐ INDICTMENT
☐ SUPERSEDING**OFFENSE CHARGED**

Circumventing internal accounting controls of an issuer, in violation of Title 15, United States Code Sections 78m(b)(5) and 78ff.

☐ Petty
☐ Minor
☐ Misdemeanor
☒ Felony**PENALTY:**

10 years prison sentence, \$1,000,000 fine, 3 years supervised release, \$100 special assessment.

E-filing**PROCEEDING**Name of Complainant Agency, or Person (& Title, if any)
FBI☐ person is awaiting trial in another Federal or State Court, give name of court☐ this person/proceeding is transferred from another district per (circle one) FRCrP 20, 21 or 40. Show District☐ this is a reprosecution of charges previously dismissed which were dismissed on motion of:☐ U.S. Att'y ☐ Defense☐ this prosecution relates to a pending case involving this same defendant☐ prior proceedings or appearance(s) before U.S. Magistrate regarding this defendant were recorded under**SHOW DOCKET NO.****MAGISTRATE CASE NO.**Name and Office of Person
Furnishing Information on
THIS FORM**SCOTT N. SCHOOLS**☒ U.S. Att'y ☐ Other U.S. AgencyName of Asst. U.S. Att'y
(if assigned)

Elise Becker

Name of District Court, and/or Judge/Magistrate Location
NORTHERN DISTRICT OF CALIFORNIA**DEFENDANT - U.S.**

ANDREW FELDMAN

DISTRICT COURT NUMBER

NOV 15 2007

RICHARD W. WIEKING
CLERK, U.S. DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA**DEFENDANT****IS NOT IN CUSTODY**

- 1) ☒ Has not been arrested, pending outcome this proceeding. If not detained give date any prior summons was served on above charges
- 2) ☐ Is a Fugitive
- 3) ☐ Is on Bail or Release from (show District)

IS IN CUSTODY

- 4) ☐ On this charge
- 5) ☐ On another conviction
- 6) ☐ Awaiting trial on other charges

☐ Fed'l ☐ State

If answer to (6) is "Yes", show name of Institution

Has detainer been filed? ☐ Yes ☐ No

If "Yes" give date filed

DATE OF ARREST

Month/Day/Year

Or... if Arresting Agency & Warrant were not

DATE TRANSFERRED TO U.S. CUSTODY

Month/Day/Year

☐ This report amends AO 257 previously submitted**ADDITIONAL INFORMATION OR COMMENTS****PROCESS:**☐ SUMMONS ☒ NO PROCESS*☐ WARRANT Bail Amount: _____

If Summons, complete following:

☐ Arraignment ☐ Initial Appearance

Defendant Address: _____

*Where defendant previously apprehended on complaint, no new summons or warrant needed, since Magistrate has scheduled arraignment

Date/Time: _____

Before Judge: _____

Comments: _____

CR07-731-CRB

SCOTT N. SCHOOLS (SCBN 9990)
United States Attorney

E-filing

FILED
NOV 15 2007
RICHARD W. WIEING
CLERK, U.S. DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA

UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA
SAN FRANCISCO DIVISION

CRB

CR 07

0731

UNITED STATES OF AMERICA,

Plaintiff,

v.

ANDREW FELDMAN,

Defendant.

No.

VIOLATION: 15 U.S.C. §§ 78m(b)(5) and
78ff - Circumventing Internal Controls of an
Issuer

INFORMATION

The United States Attorney charges:

In or about August 2001, in the Northern District of California and elsewhere, the defendant

ANDREW FELDMAN

did knowingly and willfully, directly and indirectly, circumvent the accounting controls of
Riverstone, a publicly traded company that was required to comply with the regulations of the
Securities and Exchange Commission.

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INFORMATION

1 All in violation of Title 15, United States Code, Sections 78m(b)(5) and 78ff.

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3 DATED: November 7, 2007

SCOTT N. SCHOOLS
United States Attorney

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6 
7 BRIAN J. STRETCH
Chief, Criminal Division

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9 (Approved as to form:


AUSA Becker